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Patent

IN THE UNITED STATES PATENT AND  
TRADEMARK OFFICE

Phoenix, Arizona

Applicant - Ralph Johnson      Group: 2828  
Serial No. - 10/026,020      Examiner: Dung T. Nguyen  
Filed - 12-27-2001      Atty Docket No.: H0002670 US  
For - VERTICAL CAVITY SURFACE EMITTING LASER INCLUDING  
INDIUM AND ANTIMONY IN THE ACTIVE REGION

**SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT**

Mail Stop Non-Fee Amendment  
Commissioner for Patents  
POB 1450  
Alexandria, VA 22313-1450

Dear Sir:

The following sections are being submitted for this Supplemental Information Disclosure Statement:

1. Preliminary Statements.

Applicant submits herewith additional patents, publications or other information as the result of an International Search Report relative to U. S. application serial number 10/026,055, that he believes may be material to the patentability of the claims under consideration in this application and in respect of which there may be a duty to disclose under 37 C.F.R. § 1.56.

The filing of this Supplemental Information Disclosure Statement shall not be construed as a representation that a search has been made (37 CFR § 1.97(g)), an admission that the information cited is, or is considered to be, material to patentability as defined in 37 C.F.R. § 1.56 (37 C.F.R. § 1.97(h)), or that no other material information exists.

The filing of this Supplemental Information Disclosure Statement is not to be construed as a representation that the references are prior art within the meaning of 35 U.S.C. §§ 102 or 103. Further, any explanation, if provided, is not to be construed as a representation that the references have been thoroughly reviewed. In particular, no representation as to the relevance of any portion of any reference is intended.

The filing of this Supplemental Information Disclosure Statement shall not be construed as an admission against interest in any manner. Notice of January 9, 1992, 1135 O.G. 13-25, at 25.

2. Form PTO-1449, List of Prior Art Cited by Applicant, citing one U.S. patent, two foreign patents and one publication.

03/10/2004 EAREGAY1 00000148 011125 10026020

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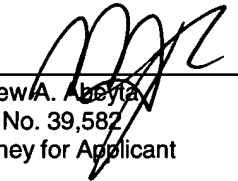
PATENT  
Serial No. 10/026,020  
PAGE 1

3. This Supplemental Information Disclosure Statement is in addition to those listed in the Information Disclosure Statement and Form PTO 1449 filed with the Patent and Trademark Office on April 16, 2003 and the Supplemental Information Disclosure Statement and Form PTO 1449 filed with the Patent and Trademark Office on April 18, 2003 and October 7, 2003.

4. The person making this statement is the attorney who signs below on the basis of the information supplied by the inventor(s) and the information in the attorney's file.

5. The Office is authorized to charge Applicant's Deposit Account 01-1125 for the fee of \$180.00 that is due under 37 C.F.R. § 1.17(p) for consideration of this IDS and for any other fee that may be due.

Telephone: 602.313.3345  
Facsimile: 602.313.4559

By:   
Andrew A. Abeyta  
Reg. No. 39,582  
Attorney for Applicant

Honeywell International Inc. (Assignee)  
101 Columbia Road  
P.O. Box 2245  
Morristown, New Jersey 07962

**CERTIFICATE OF MAILING**

I hereby certify that this correspondence (along with any paper referred to as being attached or enclosed) is being deposited on the date shown below addressed to Mail Stop Non-Fee Amendment, Commissioner for Patents, POB 1450, Alexandria, VA, 22313-1450:

☒ 37 CFR 1.8(a)(1)(A)  
With the United States Postal Service  
with sufficient postage as first class  
mail in an envelope.

☐ 37 CFR 1.8(a)(1)(B)  
by facsimile transmission to facsimile  
number \_\_\_\_\_

☐ 37 CFR 1.10  
with the United States Postal Service  
"Express Mail Post Office to Addressee"  
service, Mailing Label No. \_\_\_\_\_

Dated: 3/4/04

  
Andrew A. Abeyta, Reg. No. 39,582

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Substitute for form 1449A-PTO

**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

(USE AS MANY SHEETS AS NECESSARY)

Sheet 1 Of 2

**COMPLETE IF KNOWN**

Application Number	10/026,020
Filing Date	December 27, 2001
First Named Inventor	Ralph Johnson
Art Unit	2828
Examiner Name	Dung T. Nguyen
Attorney Docket Number	H0002670 US

**U.S. PATENT DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	Document Number		Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines Where Relevant Passages or Relevant Figures Appear
		Number	Kind Code <sup>2</sup> (if known)			
		US 5960018	A	9/28/1999	Jewell Jack L ET AL	
		US				
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**FOREIGN PATENT DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document			Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines Where Relevant Passages or Relevant Figures Appear	T <sup>6</sup>
		Country Code <sup>3</sup>	Number <sup>4</sup>	Kind Code <sup>5</sup> (if known)				
		EP	1182756	A	2/27/2002	Furukawa Electric Co LTD		
		WO	0033433	A	6/8/2000	Braun Wolfgang: Dowd Philip		

Examiner  
SignatureDate  
Considered

EXAMINER: Initial if reference is considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. <sup>1</sup>Applicant's unique citation designation number (optional). <sup>2</sup>See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.01. <sup>3</sup>Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup>For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup>Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup>Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, Washington, DC, 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, Washington, DC, 20231.

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**COMPLETE IF KNOWN**

<b>Application Number</b>	10/026,020
<b>Filing Date</b>	December 27, 2001
<b>First Named Inventor</b>	Ralph Johnson
<b>Group Art Unit</b>	2828
<b>Examiner Name</b>	Dung T. Nguyen
<b>Attorney Docket Number</b>	H0002670 US

(USE AS MANY SHEETS AS NECESSARY)

Page	2	Of	2
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## OTHER PRIOR ART - NON PATENT LITERATURE DOCUMENTS

[illegible]

Examiner Signature		Date Considered	
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EXAMINER: Initial if reference is considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant.

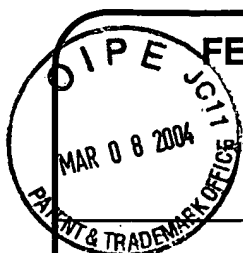
<sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> Applicant is to place a check mark here if English language Translation is attached. This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to the (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, Washington, DC, 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, Washington, DC, 20231.

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# **FEE TRANSMITTAL** **For FY 2001**

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT \$180.00

## **COMPLETE IF KNOWN**

Application No.	10/026,020
Filing Date	December 20, 2001
First Named Inventor	Ralph H. Johnson
Group Art Unit	2828
Examiner Name	Dung T. Nguyen
Attorney Docket No.	H0002670 US

### METHOD OF PAYMENT (check one)

1 ☒ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number

01-1125

Deposit Account Name

Honeywell International Inc.

☒ Charge any Additional Fee Required Under 37 CFR §§1.16 & 1.17

2. ☐ Payment Enclosed:

☐ Check ☐ Money Order ☐ Other

### FEE CALCULATION

#### 1. BASIC FILING FEE

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee \$	Fee Code	Fee \$		
101	740	201	370	Utility Filing Fee	740
106	330	206	165	Design Filing Fee	
107	510	207	255	Plant Filing Fee	
108	740	208	370	Reissue Filing Fee	
114	160	214	80	Provisional Filing Fee	
<b>SUBTOTAL (1)</b>					<b>\$740.00</b>

#### 2. EXTRA CLAIM FEES

Total Claims	Extra Claims	Fee from below	Fee Paid
24	-20 =	14	18.00
3	-3 =	0	84.00
3	-0 =	0	280.00
Multiple Dependent Claims	-0 =	0	0

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee \$	Fee Code	Fee \$		
103	18	203	9	Claims in excess of 20	
102	84	202	42	Independent claims in excess of 3	
104	280	204	140	Multiple dependent claim	
109	84	209	42	Reissue independent claims over original patent	
110	18	210	9	Reissue claims in excess of 20 and over original patent	
<b>SUBTOTAL (2)</b>					<b>\$252.00</b>

### FEE CALCULATION (continued)

#### 3. ADDITIONAL FEES

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee \$	Fee Code	Fee \$		
105	130	205	65	Surcharge - late filing fee or oath	
127	50	227	25	Surcharge - late provisional filing fee or cover sheet	
139	130	139	130	Non-English specification	
147	2,520	147	2,250	For filing a request for <i>ex parte</i> reexamination	
112	920*	112	920*	Requesting publication of SIR prior to Examiner action	
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action	
115	110	215	55	Extension for reply within first month	
116	400	216	200	Extension for reply within second month	
117	920	217	460	Extension for reply within third month	
118	1,440	218	720	Extension for reply within fourth month	
128	1,960	228	980	Extension for reply within fifth month	
119	320	219	160	Notice of Appeal	
120	320	220	160	Filing a brief in support of an appeal	
121	280	221	140	Request for oral hearing	
138	1,510	138	1,150	Petition to institute a public use proceeding	
140	110	240	55	Petition to revive - unavoidable	
141	1,280	241	640	Petition to revive - unintentional	
142	1,280	242	640	Utility issue fee (or reissue)	
143	460	243	230	Design issue fee	
144	620	244	310	Plant issue fee	
122	130	122	130	Petitions to the Commissioner	
123	50	123	50	Processing fee under 37 CFR 1.17(q)	
126	180	126	180	Submission of Information Disclosure Statement	180
581	40	581	40	Recording each patent assignment per property (times number of properties)	
146	740	246	370	Filing a submission after final rejection (37 CFR 1.129(a))	
149	740	249	370	For each additional invention to be examined (37 CFR 1.129(b))	
179	740	279	3370	Request for Continued Examination (RCE)	
169	900	169	900	Request for expedited examination of a design application	
195	300	195	300	Publication fee	
Other fee (specify)					

\* Reduced by Basic Filing Fee Paid

SUBTOTAL (3) \$180.00

### SUBMITTED BY

### Complete (if applicable)

Name (Print / Type)

Andrew A. Abeyta

Registration No.  
(Attorney/Agent)

39,582

Telephone

602-313-3345

Signature

Date

3/4/04

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